



## APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES AND HISTORY  
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

880630-01

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date	1. Agency Address Department of Transportation Division of Operations Office of Utilities, Room 201 Atlanta, Georgia 30334	Application Number	74-371-A
Application Number		Date Received JUN 30 1988	Date Completed JUN 12 1989
2. Person to Contact Jane Davis		Working Title Administrative Secretary	Telephone Number 656-5450
3. Action Requested a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input checked="" type="checkbox"/> Amend Application No. 74-371 Check One: <input checked="" type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest Latest 1973 to Date		5. Records Series Title (followed by title used in office, if different) Highway Project Railroad & Utility Agreement File	
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? The Operations Division is responsible for maintenance of all roads and bridges financed by Federal-Aid, State-Aid or Authority funds; supervision of seven District Offices throughout the State; designing improvements in vehicular and pedestrian traffic control; issuing permits and enforcing regulations governing overweight and oversize vehicles; relocation of utilities existing on project right of ways. The Office of Utilities coordinates utility and railroad matters between the Department of Transportation and utility owners and railroads. They are responsible for developing and administering policies, procedures and regulations related to highway-utility matters in conformance with current law. The office furnishes functional guidance to offices of the Pre-Construction, Construction and Operations Divisions, including the seven District Offices relating to railroad and utility encroachments, adjustments, relocations, contracts and billing.			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: Documenting agreements between railroads or utilities and the State Department of Transportation  Included are: (1) Authorization letter for utility adjustments; (2) Utility agreements and estimate of costs; (3) Utility easements; (4) Equipment rate sheet; (5) Plans for what is involved in utility and profile; (6) Letter of authorization; (7) Agreements  File is arranged: Numerically by project number and is maintained in the project files for the sake of unity.			
8. Monthly Reference Rate How often are records referred to which are: One to six months old _____; Seven to twelve months old _____; Thirteen to twenty-four months old _____; twenty-five months and older _____?			
9. Annual Rate of Accumulation of Records Letter-size drawers _____; Legal-size drawers _____; Shelves _____; Other (specify) 2 cu. ft.			

YES	NO	10. Questionnaire (Place an "X" in the proper column.)
X		a. Is this the official copy of the series? If not, where is it?
	X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
X		c. Is this a vital record? <u>See Attachment</u>
X		d. Does this series have historical or long term research value? <u>See Attachment</u>
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
		i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

**11. Retention Requirements** The following requires the series to be kept:

a. State Law	_____ years.	d. Audit period	_____ years.
b. Statute of limitation	_____ years.	e. Administrative need	PERMANENTLY <del>years.</del>
c. Federal law	_____ years.	f. Federal retention instructions	_____ years.

Attach copy or excerpt of laws or regulations. Explain administrative need.

To protect the rights of the state of Georgia in disputes with railroads and utility companies.

**12. Approved Disposition Instructions** This agency recommends that the file series be cut off at the end of each:  
☐ Calendar Year; ☐ Fiscal Year; ☒ Other Completion of project then,

- ☒ Hold in the current files area \_\_\_\_\_ month(s) 1 year(s); then  
☐ Transfer to local holding area; hold \_\_\_\_\_ year(s); then  
☐ Transfer to State Records Center; hold \_\_\_\_\_ year(s); then  
☐ Destroy.  
☒ Transfer to State Archives for permanent retention.  
☐ Other (Specify)

1500 JUN 30 PM 3:39

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>Newey Jones</i>	6/28/88	<i>Martha B Beck</i>	6/28/88
880630 01 Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.) 74-371-A		State Records Committee (Signature)	Date
State Auditor/Designee		<i>[Signature]</i>	6/14/89
Secretary of State/Designee		<i>Edward Weldon</i>	6/5/89
GOVERNOR Attorney General/Designee		<i>W.H. Roper</i>	6/7/89



STATE  
OF  
GEORGIA

Application for  
RECORDS DISPOSITION STANDARD

OFFICE OF SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES & HISTORY  
RECORDS MANAGEMENT DIVISION

1. Application Date

2. Agency Application No.

INSTRUCTIONS: See separate instructions for completion of front and reverse of this form. Sign original and two copies and forward to Department of Archives and History, Attention: Records Management Officer.

FOR RECORDS MANAGEMENT DIVISION USE

Date Received Application No. Date Completed

SEP 26 1974 74-371 NOV 7 1974

3. AGENCY, Division, Subdivision & Administering Office Address  
Department of Transportation  
Division of Administration  
Office of General Support Services - General Files  
Atlanta, Georgia 30334

4. Person to Contact

Dick Heimerich

5. Working Title  
RMO

6. Tel. No.  
656-5253

7. ACTION REQUESTED

☒ ESTABLISH DISPOSITION STANDARD;  
RECORD WILL CONTINUE TO ACCUMULATE.

☐ DISPOSE OF PRESENT ACCUMULATIONS;  
NO FURTHER ACCUMULATION ANTICIPATED.

8. Earliest & Latest Dates of Series

1973 to Date

9. Exact Series Title

Highway Project Railroad & Utility Agreement File

10. What is the function of the office in which this record series is created? The Division of Highways is responsible for the planning, location, design, construction and maintenance of all roads and bridges financed by Federal-Aid, State-Aid or Authority funds. Only those county roads and city streets financed entirely through local funding are designed, constructed and maintained without the supervision or participation of the Division. The Division of Highways is divided into five sections: The Pre-Construction Section, which determines project location through aerial photography and mapping, designs the bridges and roads involved, and obtains the right-of-way necessary; the Construction Section, which conducts the tests of soil and materials involved, oversees construction and assures quality control, and supervises the seven District Offices throughout the state; the Operations Section, which issues permits and enforces regulations governing overweight and over-size vehicles, designs improvements in vehicular and pedestrian traffic controls, effects the relocation of utilities existing on project right-of-ways, administers State-Aid, and maintains the quality of highways; the Federal Liason Section, which works to obtain Federal funds and expedite compliance with Federal Highway Administration requirements on Federal-Aid projects; and the Tollroads Section, which coordinates, administers and supervises the development, financing implementation and operation of existing and proposed tollroads.

11. This file contains the following documents (include form numbers and titles, if any, and file arrangement):

Documents relating to <sup>documenting</sup> ~~the issue of~~ agreements between railroads <sup>or</sup> utilities, and the State Department of Transportation, State of Georgia.

Included are: 1) Authorization letter for utility adjustments; 2) Utility agreements and estimate of costs; 3) Utility easements; 4) Equipment rate sheet; 5) Plan for what is involved in utility and profile; 6) Letter of authorization; 7) Agreements; and 8) Maintenance agreements with other states.

This file is arranged numerically by project number and is maintained in the project files for the sake of unity.

ATTACH SAMPLES OF THE FILE

12. EQUIPMENT OCCUPIED	No. of Drawers	Cu. Ft. of Records	ANNUAL RATE OF ACCUMULATION	No. of Drawers	Cu. Ft. of Records
Letter-size File Drawers					10 cu. ft.
Legal-size File Drawers	15	20	Floor Space Occupied (Square Feet)		In Office(s) In Storage Area(s)
				This Year's	Last Year's
			AVERAGE DAILY REFERENCES	25	25
				20	10

QUESTIONNAIRE Place an "X" in the proper column. If answer is "YES," please explain  
See Attachment

YES NO

13. Is this the Record Copy of the series? ☒ [X] ☐ [ ]
14. Is there a duplication of this series in another office or agency? ☐ [ ] ☒ [X]
15. Is the information contained in this series ever summarized or published? Attach copy of summary or publication. ☐ [ ] ☒ [X]
16. Does the series contain classified information requiring security handling? ☒ [X] ☐ [ ]
17. Does the series initiate, amend or terminate agency policies and procedures? ☒ [X] ☐ [ ]
18. Could the function be performed if the files were lost or destroyed? ☒ [X] ☐ [ ]
19. Is the series (or major portion of it) regularly microfilmed? If yes, why? ☐ [ ] ☒ [X]
20. Does the record series provide data as input to an EDP file? ☐ [ ] ☒ [X]
21. Does the record series contain documentation produced as EDP printout? ☐ [ ] ☒ [X]
22. Has the Federal Government issued instructions governing retention/disposition of these files? ☒ [X] ☐ [ ]
23. Will there be a need for these records 10, 15 years from now? If yes, what? To protect the rights of the State of Georgia under agreements which have been executed. ☒ [X] ☐ [ ]

24. REQUIREMENTS. The following requires the files to be kept permanently ~~permanently~~

- a. ☐ [ ] STATE LAW b. ☐ [ ] STATUTE OF LIMITATION c. ☐ [ ] AUDIT PERIOD d. ☐ [ ] FEDERAL LAW e. ☒ [X] ADMINISTRATIVE DECISION f. ☐ [ ] HISTORICAL VALUE  
(Cite Law, Statute, or other reason for the retention requirement)

To protect the rights of the state of Georgia in disputes with railroads and utility companies.

25. AGENCY RECOMMENDATIONS: This agency recommends that the file series be cut off at the end of each  
- ☐ [ ] CALENDAR YEAR ☐ [ ] FISCAL YEAR ☒ [X] Other Completion of Project then:

- ☒ [XX] Hold in the current files area month(s)/ 1 year(s):  
☐ [ ] Transfer to ☐ [ ] State Records Center ☐ [ ] Local Holding Area; hold year(s):  
☐ [ ] Destroy.  
☒ [XX] Transfer to State Archives for permanent retention.  
☐ [ ] Destroy immediately after cut off.  
☐ [ ] Other: (Specify)

(Indicate briefly rationale for recommendations above/or write additional remarks):

This series had been included in several categories of Project files and disposition ranges from 7 to 20 years. These agreements should be retained to support the State of Georgia in any disputes that may arise involving railroads or utility companies.

Attach Samples of the Series

Records Management Officer

Date 7/19/74

26. Recommendations  in Paragraph  25 are:	State  Records  Committee	<input checked="" type="checkbox"/> [X] Approved <input type="checkbox"/> [ ] Disapproved		Head of Agency/Designee	Date
		<input checked="" type="checkbox"/> [X] Approved <input type="checkbox"/> [ ] Disapproved		Department of Audits/Designee	Date
		<input checked="" type="checkbox"/> [X] Approved <input type="checkbox"/> [ ] Disapproved		Secretary of State/Designee	Date
		<input checked="" type="checkbox"/> [X] Approved <input type="checkbox"/> [ ] Disapproved		Department of Law/Designee	Date

(Highway Project) Railroad and Utility Agreement File  
Explanation of Yes Answers to Questions 14-23

16. Only those individuals designated or authorized by the Department of Transportation should be allowed access to these files.
17. These agreements may obligate railroads, utilities or the State of Georgia to bear the burden of any cost associated with or stipulated in the initial agreement.
18. It would be very difficult to substantiate any agreements made unless the original copy of the agreement could be produced by the State of Georgia.
22. FHWA PPM 30-9 states that federally funded projects must be retained 3 years after final payment of the project to the State.
23. To protect the rights of the Department<sup>ment</sup> of Transportation, State of Georgia under agreements which have been executed.
25. NOTE: Agreements which have been executed prior to 1973 have been included in several different highway project files. These project files have been transferred to the Records Center for retention periods varying from 7 to 20 years. As these project files become eligible for destruction under previously approved Records Disposition Standards, they will be held for review and screening. The agreement portion of the files will be extracted, prior to destruction, and forwarded to the Archives for permanent retention.